

**TITLE COMPANIES**

**COMPANY NAME:** \_\_\_\_\_ **NAIC Company Code:** \_\_\_\_\_

**Contact:** \_\_\_\_\_ **Telephone:** \_\_\_\_\_

**REQUIRED FILINGS IN THE STATE OF:** CALIFORNIA **Filings Made During the Year 2017**

(1) Checklist	(2) Line #	(3) REQUIRED FILINGS	(4) NUMBER OF COPIES			(5) CA Required Filing Format	(6) DUE DATE	(7) FORM SOURCE	(8) APPLICABLE NOTES
			Domestic		Foreign				
			CA	NAIC	CA				
		I. NAIC FINANCIAL STATEMENTS							
	1	Annual Statement (8 ½” x 14”)	xxx	EO	xxx	PDF (Signed) Original Signature Page(s)	3/1	NAIC	FAD201
	1.1	Printed Investment Schedule detail (Pages E01-E27)	xxx	EO	xxx	PDF	3/1	NAIC	
	2	Quarterly Financial Statement (8 ½” x 14”)	xxx	EO	xxx	PDF (Signed) Original Signature Page(s)	5/15, 8/15, 11/15	NAIC	FAD201
		II. NAIC SUPPLEMENTS							
	11	Actuarial Opinion	xxx	EO	xxx	PDF (Signed) Original Signature Page(s)	3/1	Company	FAD440
	12	Investment Risk Interrogatories	xxx	EO	xxx	PDF	4/1	NAIC	
	13	Management Discussion & Analysis	xxx	EO	xxx	PDF	4/1	Company	
	14	Schedule SIS	1	N/A	N/A	PDF	3/1	NAIC	FAD420
	15	Supplemental Compensation Exhibit	1	N/A	N/A	PDF	3/1	NAIC	FAD460
	16	Supplemental Schedule of Business Written By Agency	xxx	EO	xxx	PDF	4/1	NAIC	
		III. ELECTRONIC FILING REQUIREMENTS							
	61	Annual Statement Electronic Filing	xxx	EO	xxx		3/1	NAIC	
	62	March .PDF Filing	xxx	EO	xxx		3/1	NAIC	
	63	Supplemental Electronic Filing	xxx	EO	xxx		4/1	NAIC	
	64	Supplemental .PDF Filing	xxx	EO	xxx		4/1	NAIC	
	65	Quarterly Statement Electronic Filing	xxx	EO	xxx		5/15, 8/15, 11/15	NAIC	
	66	Quarterly .PDF Filing	xxx	EO	xxx		5/15, 8/15, 11/15	NAIC	
	67	June .PDF Filing	xxx	EO	xxx		6/1	NAIC	
		IV. AUDIT/INTERNAL CONTROL RELATED REPORTS							
	81	Accountants Letter of Qualifications	xxx	EO	xxx	PDF	6/1	Company	
	82	Audited Financial Reports	xxx	EO	xxx	PDF	6/1	Company	
	83	Audited Financial Reports Exemption Affidavit	1	N/A	xxx	PDF	When Applicable	Company	FAD120
	84	Communication of Internal Control Related Matters Noted in Audit	1	N/A	1	PDF	8/1	Company	FAD222
	85	CPA Awareness Letter	1	N/A	N/A	PDF	6/1	Company	FAD121
	86	Independent CPA (change)	1	N/A	N/A	PDF	When Applicable	Company	FAD124
	87	Management’s Report of Internal Control Over Financial Reporting	1	N/A	N/A	PDF	8/1, When Applicable	Company	FAD223
	88	Notification of Adverse Financial Condition	1	N/A	1	PDF	When Applicable	Company	FAD122
	89	Request for Extension/Exemption	1	N/A	N/A	PDF	When Applicable	Company	FAD125
	90	Request to File Consolidated Audited Annual Statements	1	N/A	N/A	PDF	When Applicable	Company	FAD126
	91	Relief from the Five-Year Rotation Requirement for Lead Audit Partner	xxx	EO	xxx	PDF	3/1, When Applicable	Company	
	92	Relief from the One-Year Cooling Off Period for Independent CPA	xxx	EO	xxx	PDF	3/1, When Applicable	Company	
	93	Relief from the Requirements for Audit Committees	xxx	EO	xxx	PDF	3/1, When Applicable	Company	
		V. STATE REQUIRED FILINGS***							
	101	Authorization for Disclosure of Financial Records	1	N/A	1	PDF (Signed) Original Signature Page(s)	3/1	CA	FAD107

	102	California Affidavit – Declaration to Valuation of Property & Securities/Verification	1	N/A	1	PDF (Signed) Original Signature Page(s)	3/1	CA	FAD105
	103	CA Supplement to the MDA for Title Insurers	1	N/A	1	PDF	4/1	CA	FAD163 A
	104	Certificate of Compliance	0	N/A	1	PDF	3/1	State of Domicile	FAD101 B
	105	Disclosure of Iran-Related Investments	1	N/A	N/A	PDF & XLS	6/30	CA	FAD470 F
	106	Disclosure of Material Transactions	1	N/A	N/A	See Note	See Note	See Note	C
	107	Form B (Holding Company Registration Statement)	1	N/A	1	PDF (Signed) Original Signature Page(s)	4/30	NAIC	FAD500 D
	108	Form C (Summary of Registration Statement)	1	N/A	1	PDF (Signed) Original Signature Page(s)	4/30	NAIC	FAD501 D
	109	Form F (Enterprise Risk Report)	1	N/A	See Note	PDF	4/30, When Applicable	NAIC	FAD502 G
	110	Insurer Climate Risk Disclosure Survey	1	N/A	1	See Note	See Note	See Note	E
	111	Schedule of California Direct Premiums Written (By County)	1	N/A	1	PDF	3/1	CA	FAD162
	112	Schedule of Underwritten Title Companies or Controlled Escrow Companies	1	N/A	1	PDF	3/1	CA	FAD161
	113	Corporate Governance Annual Disclosure (CGAD)	1	N/A	N/A	PDF (Signed) Original Signature Page(s)	6/1	Company	FAD503 H
	114	Own Risk and Solvency Assessment (ORSA)	1	N/A	N/A	PDF (Signed) Original Signature Page(s)	QTR-4	Company	FAD504 H

## GENERAL INSTRUCTIONS

### Submission

Pursuant to California Code of Regulation (“CCR”) 2308.1, the Insurance Commissioner (“Commissioner”) designates the Internet-based financial filing system operated by the National Association of Insurance Commissioners (“NAIC”) as the filing system to receive and store electronic filings of annual and quarterly financial statements from all admitted insurers.

When filed, solely for purposes of a filing made with the NAIC, a document is considered filed with the Commissioner when the filing is accepted by the NAIC. Any financial statements, which are not required to be filed with the NAIC or required to be filed with the NAIC that is not accepted for filing by the NAIC, shall be filed directly with the California Department of Insurance (“CDI”) via the Online Assistance System for Insurer Submittals (“OASIS”).

For documents requiring original signature(s)/certification/notarization, the electronic PDF file must contain the required signature(s)/certification/notarization. In addition, a paper original of a properly executed Jurat page from the related financial statement filed electronically shall be provided to the Commissioner as confirmation of each electronic filing. For admitted foreign and alien insurers, a paper original of such properly executed Jurat page is not needed, if it is already on file with its domestic regulator.

All original signature pages must be mailed to:

*California Department of Insurance  
Financial Analysis Division, Financial Records Unit  
300 South Spring Street, South Tower, 13<sup>th</sup> Floor  
Los Angeles, CA 90013*

### Original Signatures and Signature/Notarization/Certification

Refer to California Insurance Code Section (“CICS”) 903 and CICS 903.5 for guidance. For signature(s), please use BLUE INK.

**Note:** As of January 1, 2008, all documents notarized in the state of California must comply with Section 8202 of the Government Code and Section 1185 of the Civil Code in reference to establishing an affiant’s identity.

### Contact Information

For questions regarding filings, please contact Financial Records Unit at (213)346-6423/[Financial\\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov) or visit the California Department of Insurance (“CDI”) website at: <http://www.insurance.ca.gov>.

### **Late Filings**

Electronic filings must be submitted before 12:00 midnight of the due date. Paper filings must be postmarked on or before the due date. Any company that fails to make a timely and complete filing may be subject to a late filing fee. A late filing fee will be assessed for the first month and every month or fractional part thereof until the required filing is submitted. The Company is required to pay the late filing fee through OASIS.

### **Amended Filings**

Amended items must be filed timely along with an explanation of the amendments. If there are signature requirements for the original filing, same should be followed for any subsequent amendment. Please contact Financial Records Unit at (213) 346-6423 or [Financial\\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov) prior to submitting any amendment via OASIS.

### **Request for Extension/Exemption**

Not all documents can be given an extension of time to file or to be exempted from filing. Please refer to California Insurance Code ("CIC") and California Code of Regulations ("CCR") for guidance. Pursuant to CICS 924, applicable late filing fees will be assessed even with a granted extension. Unless otherwise specified in the CIC or CCR, the request for extension/exemption must be received by the Department:

- For a domestic insurer, at least 30 days prior to the filing due date.
- For a foreign insurer, at least 10 days prior to the filing due date. The request must be accompanied by a copy of the domiciliary state insurance regulator's approval letter.

For requests relating to Section IV - AUDIT/INTERNAL CONTROL RELATED REPORTS, please submit them via OASIS. For other requests, please e-mail them to Financial Records Unit at [Financial\\_Records@insurance.ca.gov](mailto:Financial_Records@insurance.ca.gov) directly.

### **NONE or N/A Filings**

- For NAIC Submissions, see Official NAIC Annual Statement Blank for Supplemental Exhibits and Schedules Interrogatories.
- For CA Supplemental Submissions when there is nothing to report or the form is not applicable, the word "NONE" or "N/A" must appear stamped/written on the required form. Company information must be filled in (e.g., Company name and NAIC #).

#### **Column (1) Checklist**

Companies may use the checklist to submit to a state. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

#### **Column (2) Line #**

Line # refers to a standard filing number used for reference only. This line number may change from year to year.

#### **Column (3) Required Filings**

Name of form or document to be filed.

Under Section III. ELECTRONIC FILING REQUIREMENTS:

The *Annual Statement Electronic Filing* includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The *March .PDF Filing* is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

The *Supplemental Electronic Filing* includes all supplements due April 1, per the *Annual Statement Instructions*.

The *Supplemental .PDF Filing* is the .pdf file for all supplements due April 1.

The *Quarterly Electronic Filing* includes the quarterly statement data.

The *Quarterly .PDF Filing* is the .pdf for quarterly statement data.

The *June .PDF Filing* is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

#### **Column (4) Number of Copies**

- XXX = If a hardcopy (or a paper original of a properly executed Jurat page from the related financial statement filed electronically) is filed with the state of domicile and the data is filed electronically with the NAIC, California does not require a separate filing of this financial statement.
- N/A = Filing is required with the domiciliary state only.
- 0 = California domestic companies are not required to file.
- EO = Electronic only filing. Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC. Companies are not required to file hard copy filings with the NAIC.

**Column (5) CA Required Electronic Filing Format**Adobe PDF (PDF)

For document requiring original signature(s)/certification/notarization, the PDF file must contain the required signature(s)/certification/notarization.

MS Excel (XLS)

For document requiring an Excel version, the related form is provided on our Website. The Excel version does not require signature(s)/certification/notarization.

**Column (6) Due Date**

Indicates the date on which the company must file the form.

**Column (7) Form Source**

- NAIC = Company must obtain the forms from the appropriate vendor.
- CA = CDI will prescribe the forms with the filing instructions.
- Company = Company, or its representative is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instruction*.
- State of Domicile = Document issued by the domiciliary state insurance regulator.

**Column (8) Applicable Notes**

This column contains references to the Notes that apply to each item listed on the checklist. It also contains the CDI form numbers (in red) for reference only. The company should carefully read these notes before submitting a filing.

**NOTES**

<b>A</b>	CA Supplement to the MDA for Title Insurers	Newer requirement for Title insurers. Submit online utilizing OASIS. Subject to late filing fees pursuant to CICS 924.
<b>B</b>	Certificate of Compliance	<ul style="list-style-type: none"> <li>• Foreign insurer must file with the CDI a Certificate of Compliance issued by its state of domicile or port of entry insurance regulator.</li> <li>• California domestic companies that are required to file a Certificate of Compliance with other states should contact the Corporate and Regulatory Affairs Branch to obtain a copy.</li> </ul> <p style="text-align: center;"> <i>California Department of Insurance  Corporate and Regulatory Affairs Branch  Re: Certificate of Compliance  45 Fremont Street, 24<sup>th</sup> Floor  San Francisco, CA 94105  (415) 538-4154</i> </p>
<b>C</b>	Disclosure of Material Transactions	Refer to <a href="http://www.insurance.ca.gov/0250-insurers/0300-insurers/0100-applications/financial-filing-notices-forms/annualnotices/disclosure.cfm">http://www.insurance.ca.gov/0250-insurers/0300-insurers/0100-applications/financial-filing-notices-forms/annualnotices/disclosure.cfm</a> for guidance. When Applicable, the report shall be filed within 15 days after the end of the calendar month in which the transactions occur. 15 days after the end of the calendar month in which the transactions occur.
<b>D</b>	Forms B and C (Holding Company Registration Statement and Summary)	Apply to California domestic and <a href="#">commercially domiciled</a> insurers only.
<b>E</b>	Insurer Climate Risk Disclosure Survey	Check the CDI website: <a href="#">CLIMATE RISK DISCLOSURE SURVEY</a> for the latest information. For questions please email <a href="mailto:ClimateRiskSurvey@insurance.ca.gov">ClimateRiskSurvey@insurance.ca.gov</a> or call Randi Wood at (916) 492-3501.
<b>F</b>	Disclosure of Iran-Related Investments	For your convenience, the <a href="#">Disclosure of Iran-Related Investments form</a> and the <a href="#">Department of General Services List</a> are being made available on our Website.
<b>G</b>	Form F (Enterprise Risk Report)	Refer to CICS 1215.4 (m) for guidance. A California <a href="#">commercially domiciled</a> company is required to file Form F only when the lead state <b>does not</b> require it.
<b>H</b>	ORSA and CGAD	<ul style="list-style-type: none"> <li>• ORSA - Refer to <a href="#">CICS 935.1 – 935.11</a> for guidance.</li> <li>• CGAD - Refer to <a href="#">CICS 936.1 – 936.9</a> for guidance.</li> </ul> <p>The filing must be submitted in <b>encrypted .PDF</b> format.  <b>For submission, please call (213) 346-6423.</b></p>